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|--------------------------------|--|---|--|--------|
| Prepared from<br>FORM PTO-1390 |  | Transmittal Letter to the United States<br>Designated/Elected Office (DO/EO/US) |  | Page 1 |
| Customer No.                   | 026418   |   |  |        |
| Attorney's Docket No.:         | GK-EIS-1045 / 500593.20037                                     |   |  |        |
| U.S. Application No.:          | 10/009,703   |   |  |        |
| International Application No.: | PCT/EP00/03931   |   |  |        |
| International Filing Date:     | MAY 02, 2000   | 02 MAY 2000   |  |        |
| Priority Date Claimed:         | APRIL 30, 1999   | 30 APRIL 1999   |  |        |
| Title of Invention:            | METHOD OF REPRODUCING AUDIO SOUND WITH ULTRASONIC LOUDSPEAKERS |   |  |        |
| Applicant(s) for (DO/EO/US):   | Wolfgang NIEHOFF, Vladimir GORELIK and Oliver GELHARD          |   |  |        |

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

[ ] 1. This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.

[X] 2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.

[ ] 3. This express request to begin national examination procedures [35 U.S.C. 371 (f)] at any time rather than delay examination until the expiration of the applicable time limit set forth in 35 U.S.C. 371(b) and PCT Articles 22 and

[ ] 4. A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.

[ ] 5. A copy of the International Application as filed [35 U.S.C. 371(c)(2)]

a) ☐ is transmitted herewith (required only if not transmitted by the International Bureau)

b) ☐ has been transmitted by the international Bureau

c) ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)

[ ] 6. A translation of the International Application into English [35 U.S.C. 371(c)(2)]

[ ] 7. Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]

a) ☐ are transmitted herewith (required only if not transmitted by the International Bureau)

b) ☐ have been transmitted by the International Bureau

c) ☐ have not been made; however, the time limit for making such amendments has **NOT** expired.

d) ☐ have not been made and will not be made

[ ] 8. A translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)]

[X] 9. An EXECUTED Oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)]

[ ] 10. A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)]

**Items 11. to 16. Below concern other document(s) or information included:**

[ ] 11. An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98

[ ] 12. An Assignment document for recording. A separate cover sheet (PTO-1619A) in compliance with 37 CFR 3.28 and 3.31 is included.

[ ] 13. ☐ A **FIRST** preliminary amendment

☐ A **SECOND** or **SUBSEQUENT** preliminary amendment

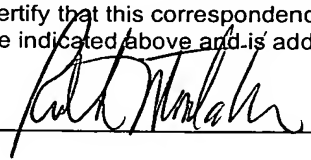
[ ] 14. A **substitute specification**

[ ] 15. A change of power of attorney and/or address letter

[X] 16. (other items or information) **371 Formalities Letter dated 22FEB02**

EXPRESS MAIL No.: **EL 915 668 334 US** Deposited: **March 5, 2002**

I hereby certify that this correspondence is being deposited with the United States Postal Service Express mail under 37 CFR 1.10 on the date indicated above and is addressed to: BOX PCT, Commissioner for Patents, Washington, DC 20231.

 /Ruth Montalvo Date: **March 5, 2002**

03/11/2002 UEDUVIJE 00000135 10009703

01 FC:154

130.00 DP

CALCULATIONS PTO USE ONLY

☐ 17. The following fees are submitted:**BASIC NATIONAL FEE [37 CFR 1.492(a)(1)-(5)]**

- |                          |   |    |          |
|--------------------------|---|----|----------|
| <input type="checkbox"/> | Search Report has been prepared by the EPO or JPO.....  | \$ | 890.00   |
| <input type="checkbox"/> | International preliminary examination fee paid to USPTO [37 CFR 1.482].....   | \$ | 710.00   |
| <input type="checkbox"/> | No International preliminary examination fee paid to USPTO [37 CFR 1.482]<br>but International search fee paid to USPTO [37 CFR 1.445(a)(2)]..... | \$ | 740.00   |
| <input type="checkbox"/> | Neither International preliminary examination fee [37 CFR 1.482] nor<br>International search fee [37 CFR 1.445(a)(2)] paid to USPTO.....          | \$ | 1,040.00 |
| <input type="checkbox"/> | International preliminary examination fee paid to USPTO [37 CFR 1.482]<br>and all claims satisfied provisions of PCT Article 33(1)-(4).....       | \$ | 100.00   |

**ENTER APPROPRIATE BASIC FEE AMOUNT:**

| Claims   | Number<br>Filed |     | Number<br>Extra | Rate        |
|--|-----------------|-----|-----------------|-------------|
| Total Claims   |                 | -20 |                 | x \$ 18. =  |
| Indep. Claims  |                 | -03 |                 | x \$ 80. =  |
| <input type="checkbox"/> Multiple Dependent Claim(s) (if applicable) |                 |     |                 | + \$ 270. = |

**TOTAL OF ABOVE CALCULATIONS:**

|  |                 |
|--|-----------------|
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the<br>earliest claimed priority date [37 CFR 1.492(e)] | <b>\$130.00</b> |
|--|-----------------|

**TOTAL OF ABOVE CALCULATIONS: \$130.00**

|  |  |
|--|--|
| Applicant claims Small Entity Status [See 37 CFR 1.27] Reduction by 1/2 for filing by small entity |  |
|--|--|

**SUBTOTAL: \$130.00**

|  |  |
|--|--|
| Processing fee of \$130.00 for furnishing the English Translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from<br>the earliest claimed priority date [37 CFR 1.492(f)] |  |
|--|--|

**TOTAL NATIONAL FEE: \$130.00**

|  |   |  |
|--|---|--|
| Fee for recording the enclosed assignment [37 CFR 1.21(h)] The assignment must be accompanied<br>by an appropriate cover sheet (PTO-1595) [37 CFR 3.28, 3.31]. \$ 40.00 per property | + |  |
|--|---|--|

**TOTAL FEE(S): \$130.00**

|                                      |                 |           |
|--------------------------------------|-----------------|-----------|
| AMOUNTS TO BE<br>REFUNDED OR CHARGED | <b>REFUNDED</b> | <b>\$</b> |
|                                      | <b>CHARGED</b>  | <b>\$</b> |

- ☒ Check in the amount of **\$ 130.00** to cover the above fees is enclosed. (The Commissioner is hereby authorized to charge any additional fees required with this submission or to credit any overpayment to Deposit Account No: 50-1529.)

**NOTE:** Where an appropriate time limit under 36 CFR 1.494 or 1.495 has not been met, a petition to revive [37 CFR 1.137(a) or (b)] must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

**Gerald H. Kiel, Esq.**  
Reed Smith LLP (Customer No. 026418)  
375 Park Avenue  
New York, NY 10152

Gerald H. Kiel  
Name (Tel. (212) 521-5400)

Signature

25,116  
Reg. No.

March 5, 2002  
Date



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box 901  
 United States Patent and Trademark Office  
 Washington, D.C. 20231  
 www.uspto.gov

|                               |                       |                           |
|-------------------------------|-----------------------|---------------------------|
| U.S. APPLICATION NUMBER NO.   | FIRST NAMED APPLICANT | ATTY. DOCKET NO.          |
| 10/009,703                    | Wolfgang Niehoff      | GK-EIS-1045/ 500593.20037 |
| INTERNATIONAL APPLICATION NO. |                       |                           |
| PCT/EP00/03931                |                       |                           |
| I.A. FILING DATE              | PRIORITY DATE         |                           |
| 05/02/2000                    |                       |                           |

026418  
 REED SMITH LLP  
 375 PARK AVENUE  
 NEW YORK, NY 10152

CONFIRMATION NO. 6139

371 FORMALITIES LETTER



\*OC000000007491681\*

Date Mailed: 02/22/2002

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Oath or Declaration
- Preliminary Amendments
- Substitute Specification

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed

# DOCKET

DUE April 22, 2002 *Excluded Sec. Deadline*

to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

LAMONT M HUNTER

Telephone: (703) 305-3686

PART 1 - ATTORNEY/APPLICANT COPY

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO.          |
|-----------------------------|-------------------------------|---------------------------|
| 10/009,703                  | PCT/EP00/03931                | GK-EIS-1045/ 500593.20037 |

FORM PCT/DO/EO/905 (371 Formalities Notice)